REMARKS

As of the action mailed on March 25, 2005, claims 1-53 were pending. Of these, claims 2-5, 9-17, 23-24, 28-30, 40-44, 47, and 48 were objected to as depending from rejected base claims, but were found by the examiner to have patentable subject matter and would be allowed if rewritten in independent form including all the limitations of their respective base claims. The remaining claims were rejected.

All of the claims have been amended or cancelled so that all the remaining claims now include subject indicated by the examiner to be allowable.

Enclosed is a $500.00 check for excess claim fees. Please apply any other charges or credits to deposit account 06-1050.

Respectfully submitted,

Date: 27 June 05

Hans R. Troesch
Reg. No. 36,950

Fish & Richardson P.C.
500 Arguello Street, Suite 500
Redwood City, California 94063
Telephone: (650) 839-5070
Facsimile: (650) 839-5071

Attachments following last page of this Amendment:
Replacement Sheets (13 sheets)
Annotated Sheets (13 sheets)

Amendments to the Drawings:

The attached replacement sheets of drawings includes changes to Figures 4-17 and replaces the original sheets including Figures 1-18.

In Figures 4-17, the drawings have been formalized and are being submitted in compliance with 37 CFR 1.121(d).

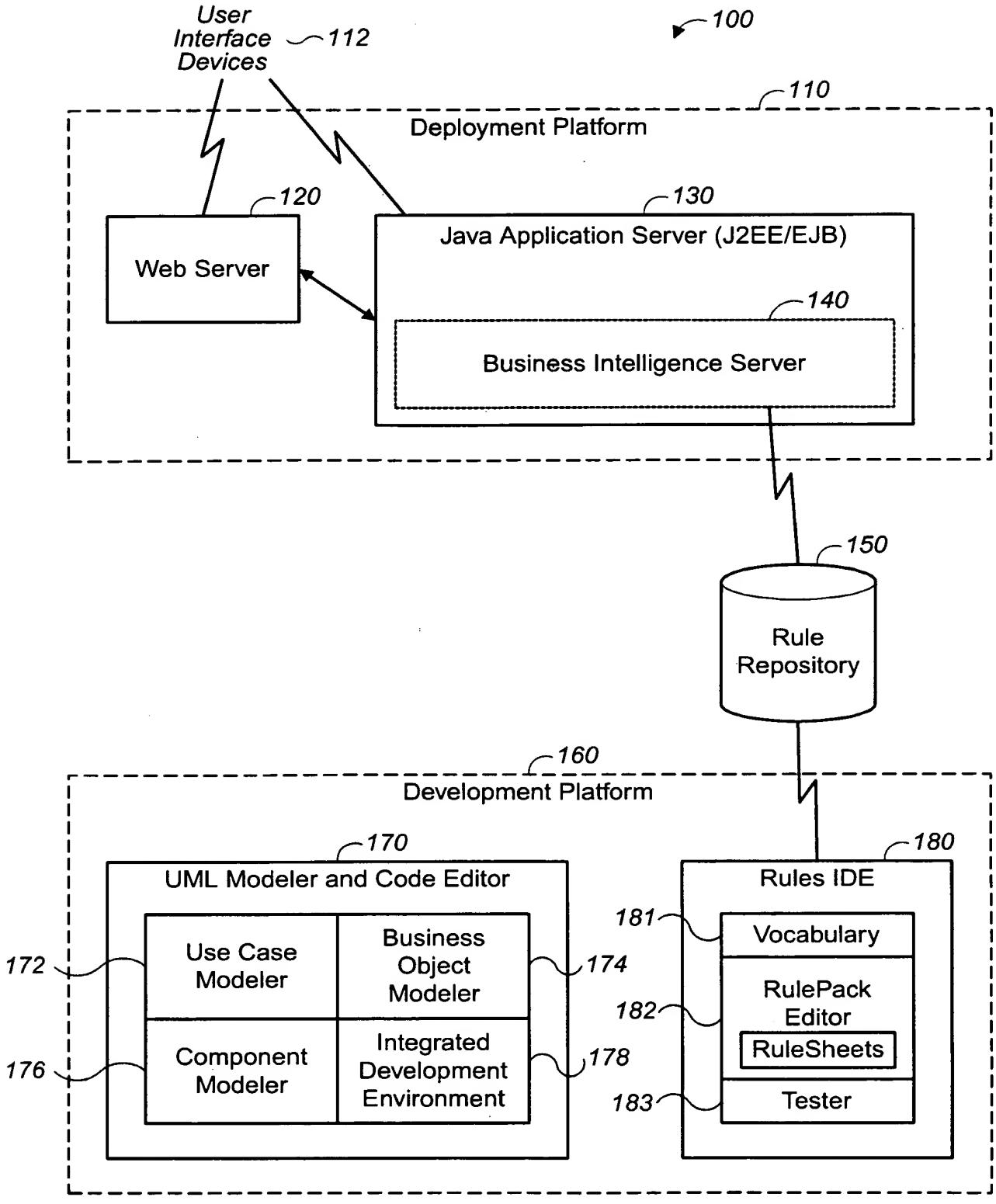
User Interface Devices
112
100
110
Deployment Platform
120
Web Server
130
Java Application Server (J2EE/EJB)
140
Business Intelligence Server
150
Rule Repository
160
Development Platform
170
UML Modeler and Code Editor
Use Case Modeler
Business Object Modeler
Component Modeler
Integrated Development Environment
172
174
176
178
180
Rules IDE
181
Vocabulary
182
RulePack Editor
RuleSheets
183
Tester

FIG._1

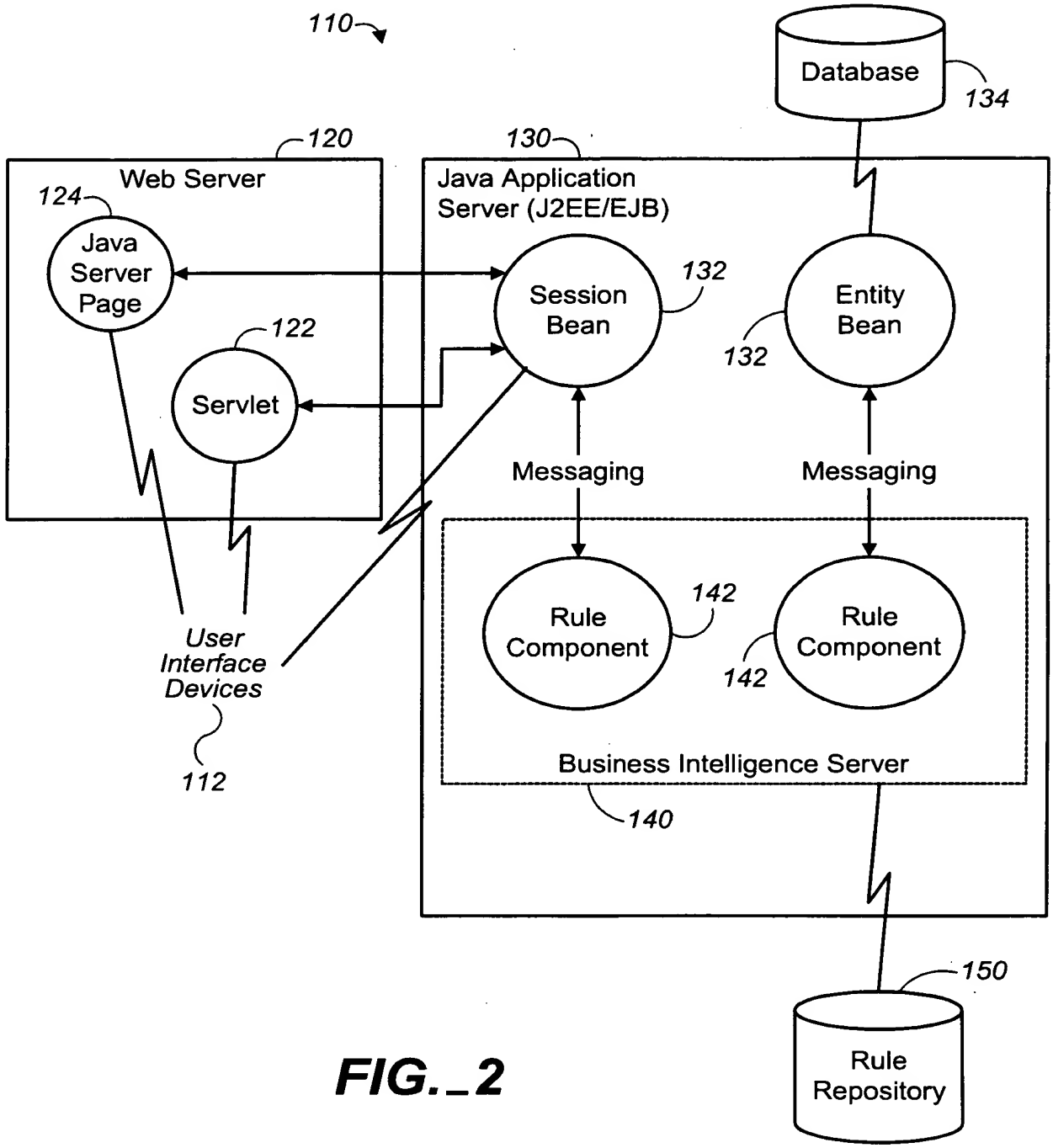
110
Database
134
120
130
Web Server
Java Application Server (J2EE/EJB)
124
Java Server Page
Session Bean
132
Entity Bean
132
122
Servlet
Messaging
Messaging
142
Rule Component
Rule Component
142
User Interface Devices
112
Business Intelligence Server
140
150
Rule Repository

FIG._2

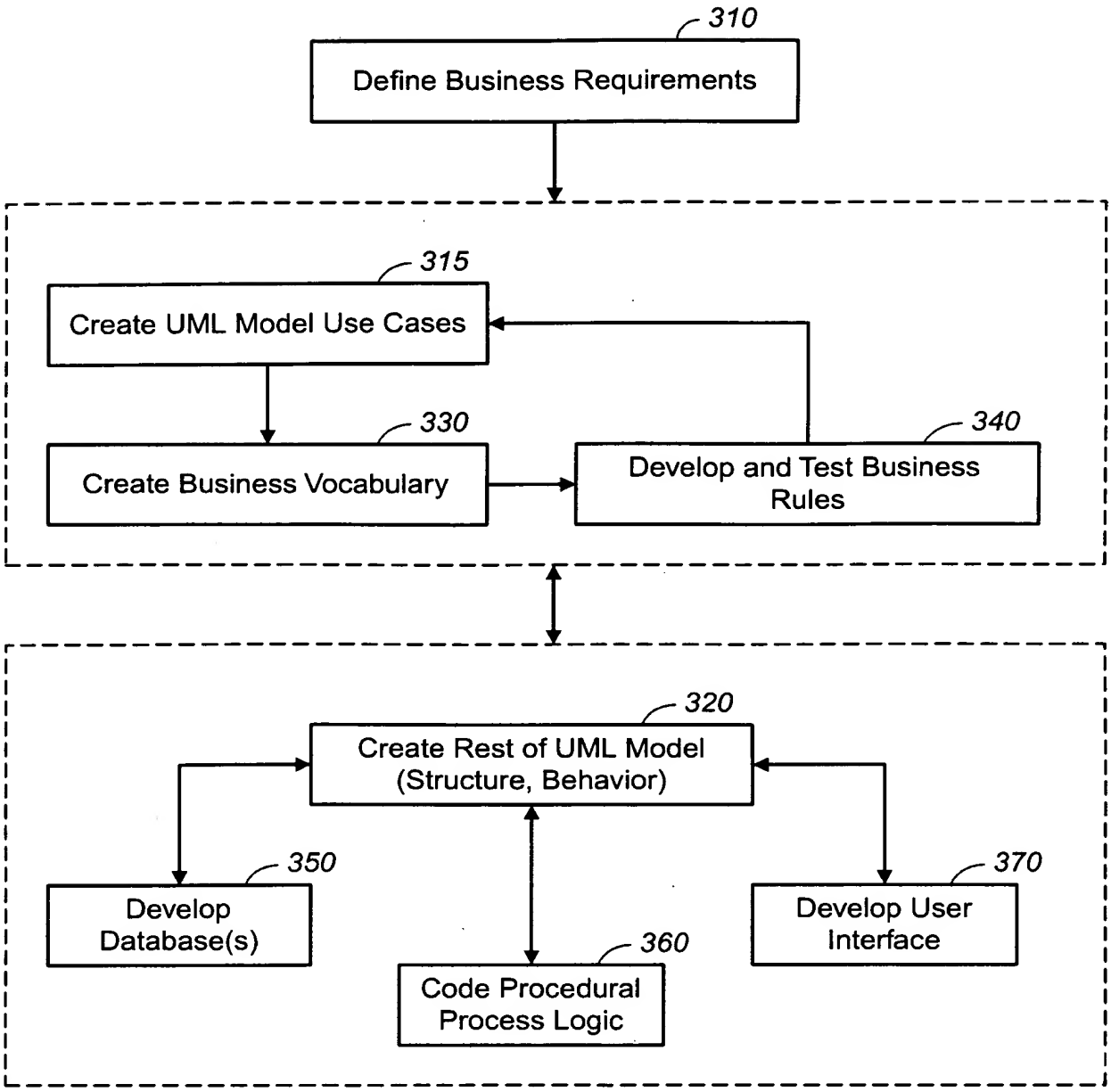
310
Define Business Requirements
315
Create UML Model Use Cases
330
Create Business Vocabulary
340
Develop and Test Business Rules
320
Create Rest of UML Model (Structure, Behavior)
350
Develop Database(s)
360
Code Procedural Process Logic
370
Develop User Interface

FIG._3

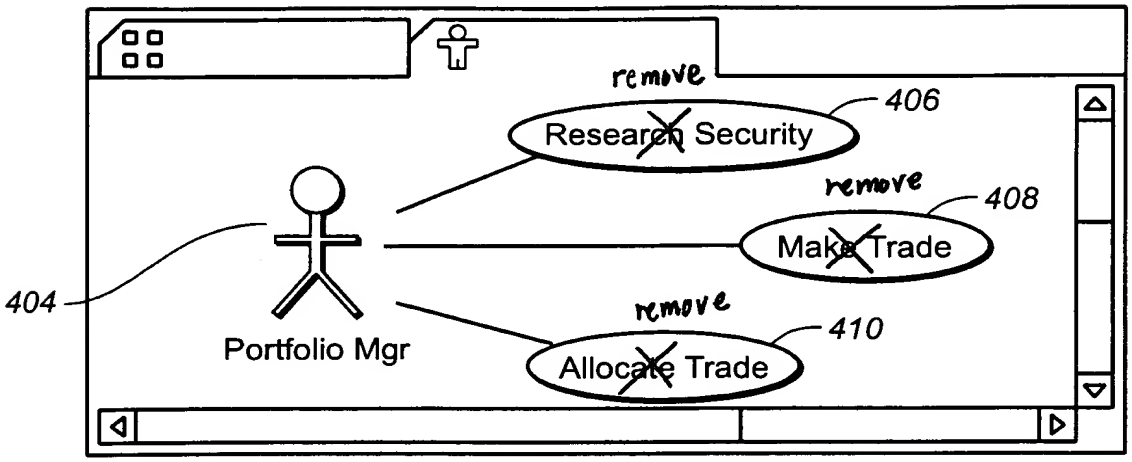
remove
406
Research Security
remove
408
Make Trade
404
Portfolio Mgr
remove
410
Allocate Trade

FIG._4

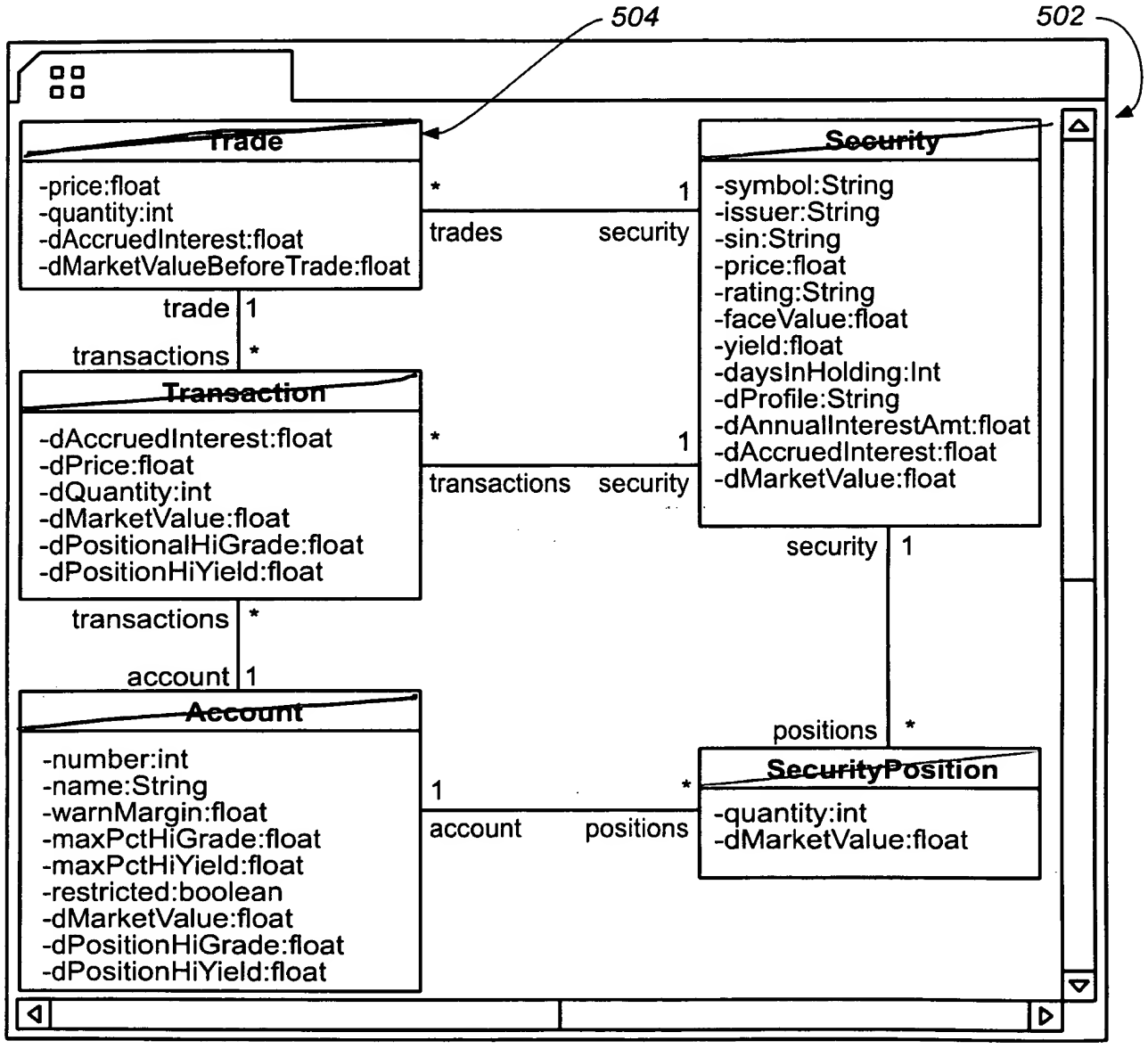
504
502
Trade
-price:float
-quantity:int
-dAccruedInterest:float
-dMarketValueBeforeTrade:float
trade 1
transactions *
Transaction
-dAccruedInterest:float
-dPrice:float
-dQuantity:int
-dMarketValue:float
-dPositionalHiGrade:float
-dPositionHiYield:float
transactions *
account 1
Account
-number:int
-name:String
-warnMargin:float
-maxPctHiGrade:float
-maxPctHiYield:float
-restricted:boolean
-dMarketValue:float
-dPositionHiGrade:float
-dPositionHiYield:float
* trades 1 security
* transactions 1 security
Security
-symbol:String
-issuer:String
-sin:String
-price:float
-rating:String
-faceValue:float
-yield:float
-daysInHolding:Int
-dProfile:String
-dAnnualInterestAmt:float
-dAccruedInterest:float
-dMarketValue:float
security 1
positions *
1 account * positions
SecurityPosition
-quantity:int
-dMarketValue:float

FIG._5

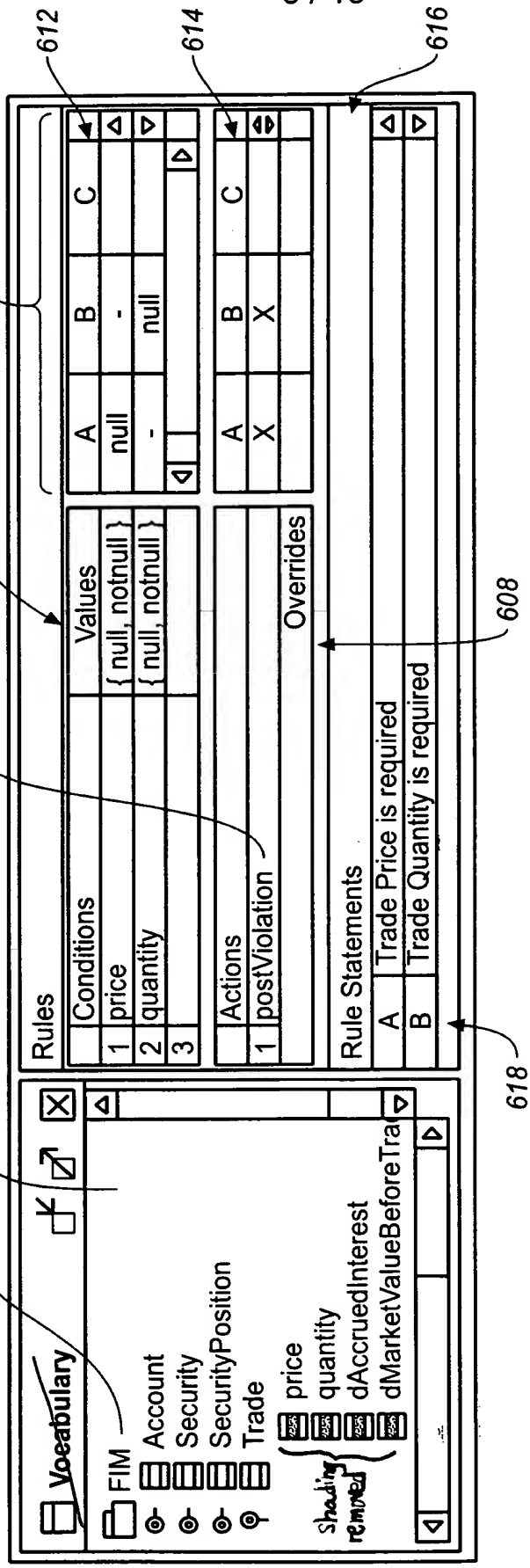
612
614
616
610
606
620
608
618
604
622
Rules
Conditions
Values
1 price { null, notnull }
2 quantity { null, notnull }
3
A B C
null - null
- X
Actions
1 postViolation
Overrides
Rule Statements
A Trade Price is required
B Trade Quantity is required
Vocabulary
FIM
Account
Security
SecurityPosition
Trade
price
quantity
dAccruedInterest
dMarketValueBeforeTra
shading removed

FIG._6

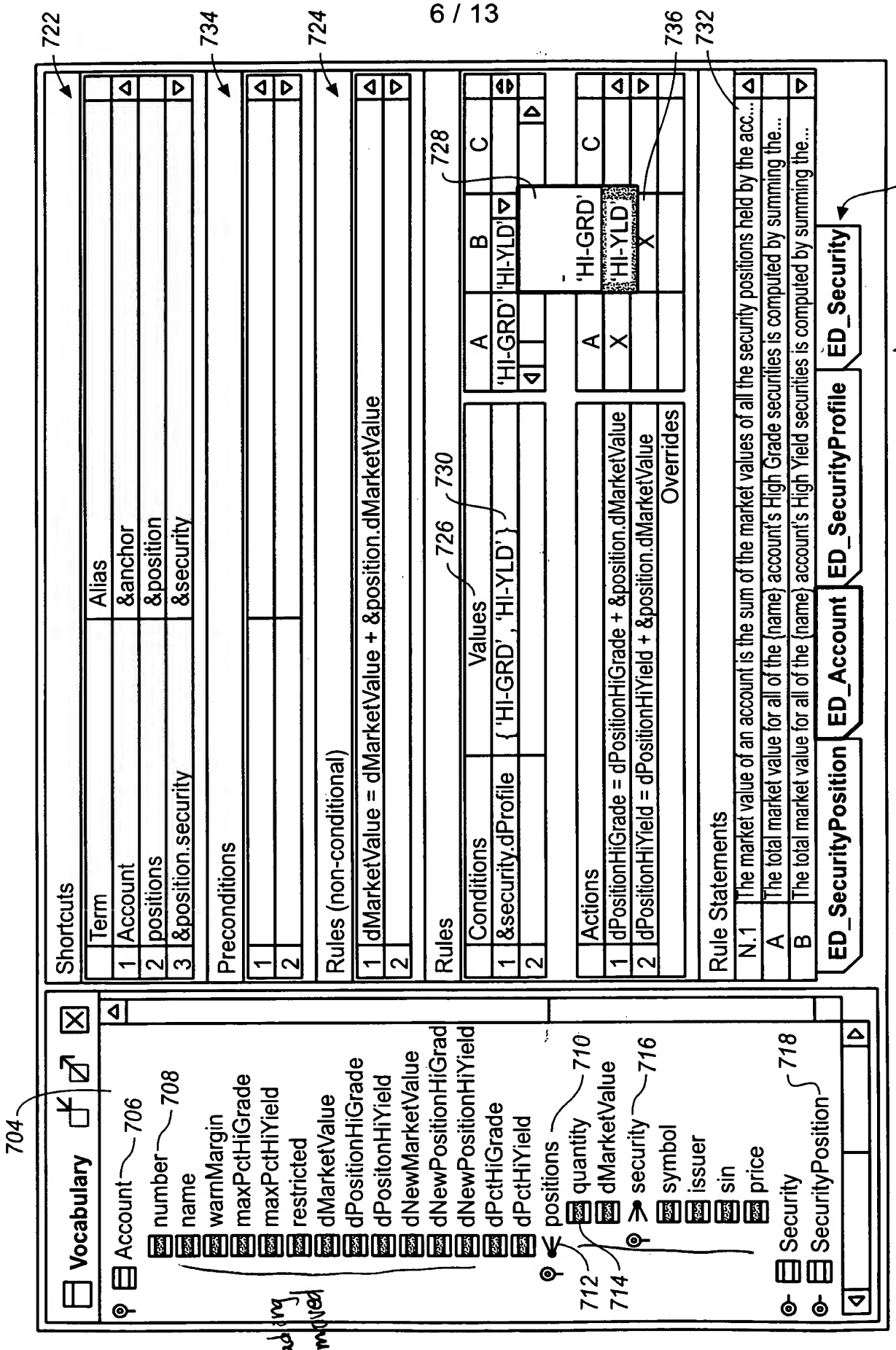
Vocabulary
Account
number
name
warnMargin
maxPctHiGrade
maxPctHiYield
restricted
dMarketValue
dPositionHiGrade
dPositonHiYield
dNewMarketValue
dNewPositionHiGrad
dNewPositionHiYield
dPctHiGrade
dPctHiYield
positions
quantity
dMarketValue
security
symbol
issuer
sin
price
Security
SecurityPosition
Shortcuts
Term
Alias
1 Account &anchor
2 positions &position
3 &position.security
Preconditions
Rules (non-conditional)
1 dMarketValue = dMarketValue + &position.dMarketValue
2
Rules
Conditions
Values
1 &security.dProfile { 'HI-GRD', 'HI-YLD' }
2
A
B
C
'HI-GRD'
'HI-YLD'
Actions
1 dPositionHiGrade = dPositionHiGrade + &position.dMarketValue
2 dPositionHiYield = dPositionHiYield + &position.dMarketValue
Overrides
Rule Statements
N.1 The market value of an account is the sum of the market values of all the security positions held by the acc...
A The total market value for all of the {name} account's High Grade securities is computed by summing the...
B The total market value for all of the {name} account's High Yield securities is computed by summing the...
ED_SecurityPosition
ED_Account
ED_SecurityProfile
ED_Security
704
706
708
710
712
714
716
718
720
722
724
726
728
730
732
734
736
702
shading removed

FIG._7

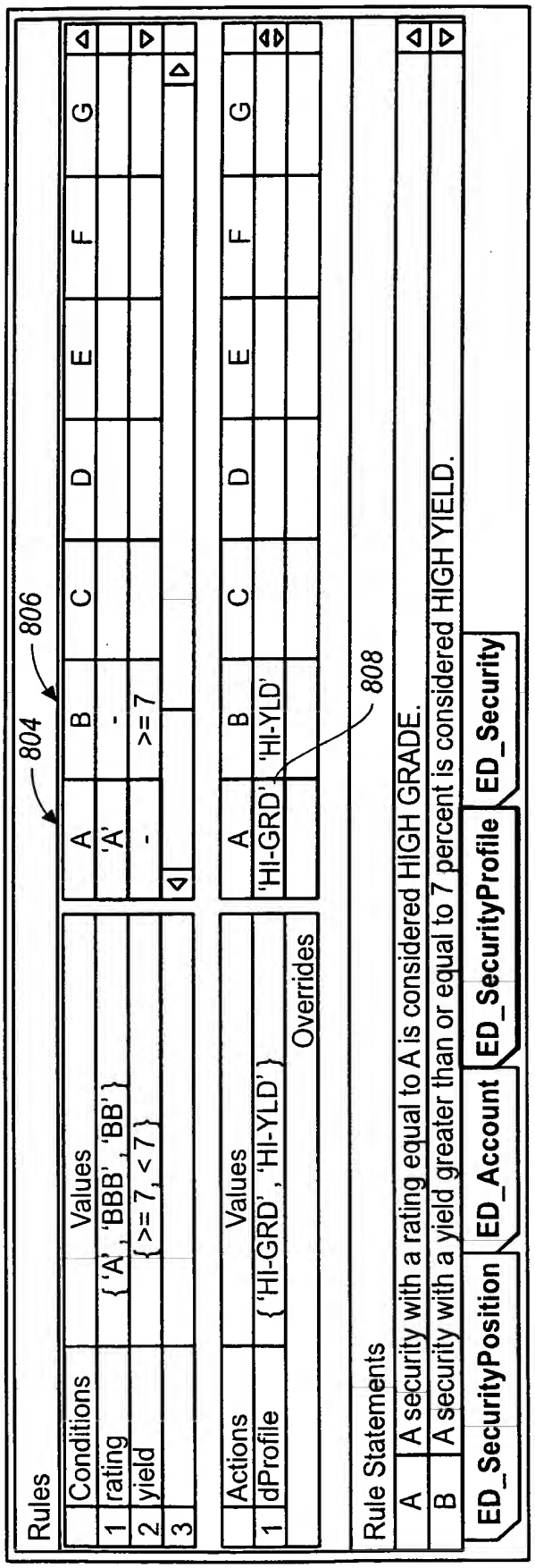
Rules
804
806
Conditions
Values
A
B
C
D
E
F
G
1 rating
{'A', 'BBB', 'BB'}
'A'
-
2 yield
{>= 7, < 7}
- >= 7
3
Actions
Values
1 dProfile
{'HI-GRD', 'HI-YLD'}
'HI-GRD' 'HI-YLD'
808
Overrides
Rule Statements
A A security with a rating equal to A is considered HIGH GRADE.
B A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.
ED_SecurityPosition
ED_Account
ED_SecurityProfile
ED_Security

FIG._8

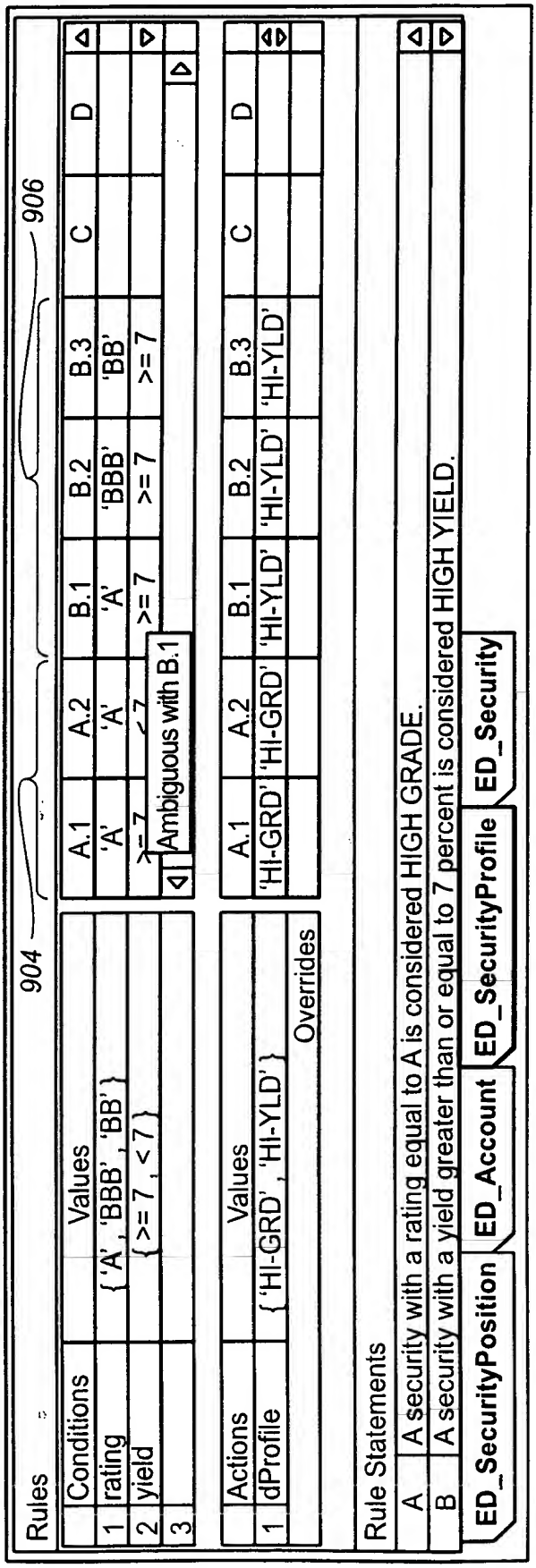
Rules
904
906
Conditions
Values
A.1
A.2
B.1
B.2
B.3
C
D
1 rating
{'A', 'BBB', 'BB'}
'A'
'A'
'A'
'BBB'
'BB'
2 yield
{>= 7, < 7}
>= 7
Ambiguous with B.1
>= 7
>= 7
3
Actions
Values
1 dProfile
{'HI-GRD', 'HI-YLD'}
'HI-GRD' 'HI-GRD' 'HI-YLD' 'HI-YLD' 'HI-YLD'
Overrides
Rule Statements
A A security with a rating equal to A is considered HIGH GRADE.
B A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.
ED_SecurityPosition
ED_Account
ED_SecurityProfile
ED_Security

FIG._9

Rules

1006

	Conditions	Values
1	rating	{ 'A' , 'BBB' , 'BB' }
2	yield	{ >= 7 , < 7 }
3		

A	B	C	D	E	F	G
'A'	-	'BBB'	'BB'			
-	>= 7	< 7	< 7			

	Actions	Values
1	dProfile	{ 'HI-GRD' , 'HI-YLD' }
		Overrides

1004

A	B	C	D	E	F	G
'HI-GRD'	'HI-YLD'					
2						

Rule Statements

A	A security with a rating equal to A is considered HIGH GRADE.
B	A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.

FIG._10

FIG._11

Rules

	Conditions	Values
1	rating	{ 'A' , 'BBB' , 'BB' }
2	yield	{ >= 7, < 7 }
3		

A	B	C	D	E	F	G
'A'	-	'BBB'	'BB'			
-	>= 7	< 7	< 7			

	Actions	Values
1	dProfile	{'HI-GRD', 'HI-YLD', 'DOG'}
		Overrides

A	B	C	D	E	F	G
'HI-GRD'	'HI-YLD'	'DOG'	'DOG'			
2						

Rule Statements

A	A security with a rating equal to A is considered HIGH GRADE.
B	A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.
C	A security with a rating lower than A and a yield lower than 7 is a DOG.

ED_SecurityPosition | ED_Account | ED_SecurityProfile | ED_Security

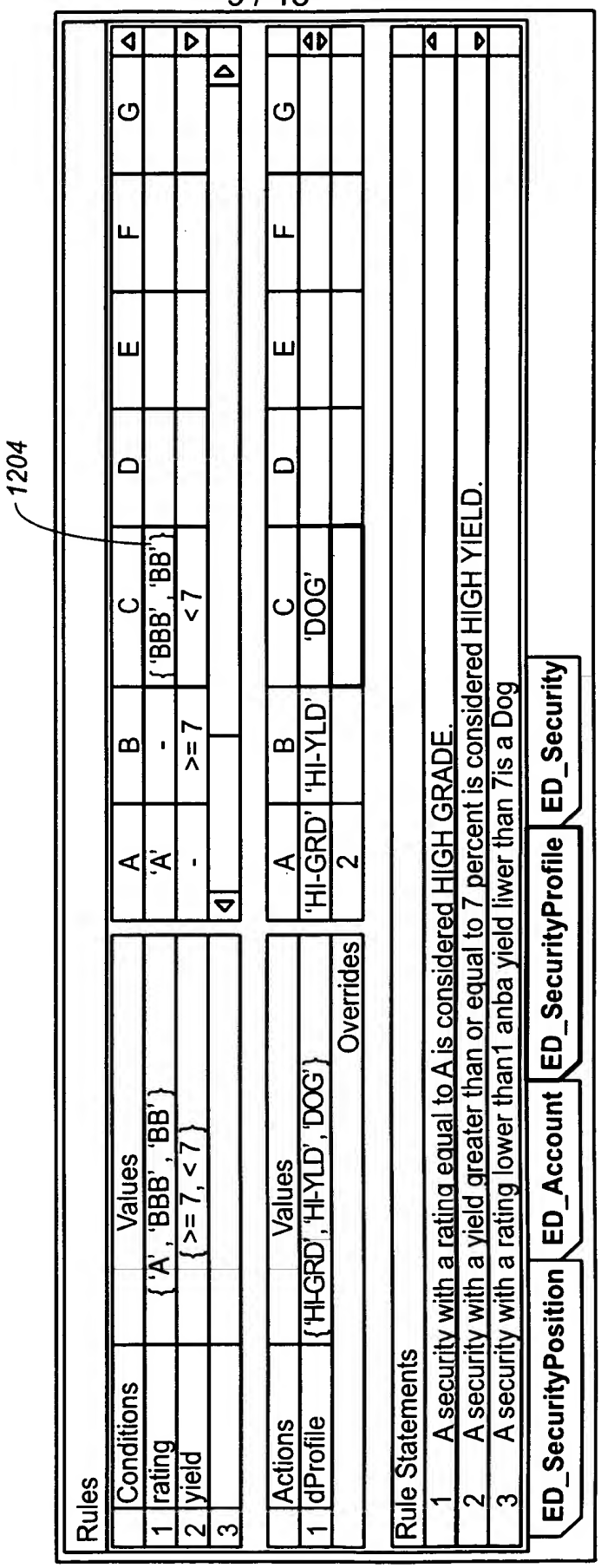
1204
Rules
Conditions
Values
1 rating
{'A', 'BBB', 'BB'}
2 yield
{>= 7, < 7}
3
A
B
C
D
E
F
G
'A'
-
{'BBB', 'BB'}
-
>= 7
< 7
Actions
Values
1 dProfile
{'HI-GRD', 'HI-YLD', 'DOG'}
Overrides
'HI-GRD'
'HI-YLD'
'DOG'
2
Rule Statements
1 A security with a rating equal to A is considered HIGH GRADE.
2 A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.
3 A security with a rating lower than1 anba yield liwer than 7is a Dog
ED_SecurityPosition
ED_Account
ED_SecurityProfile
ED_Security

FIG._12

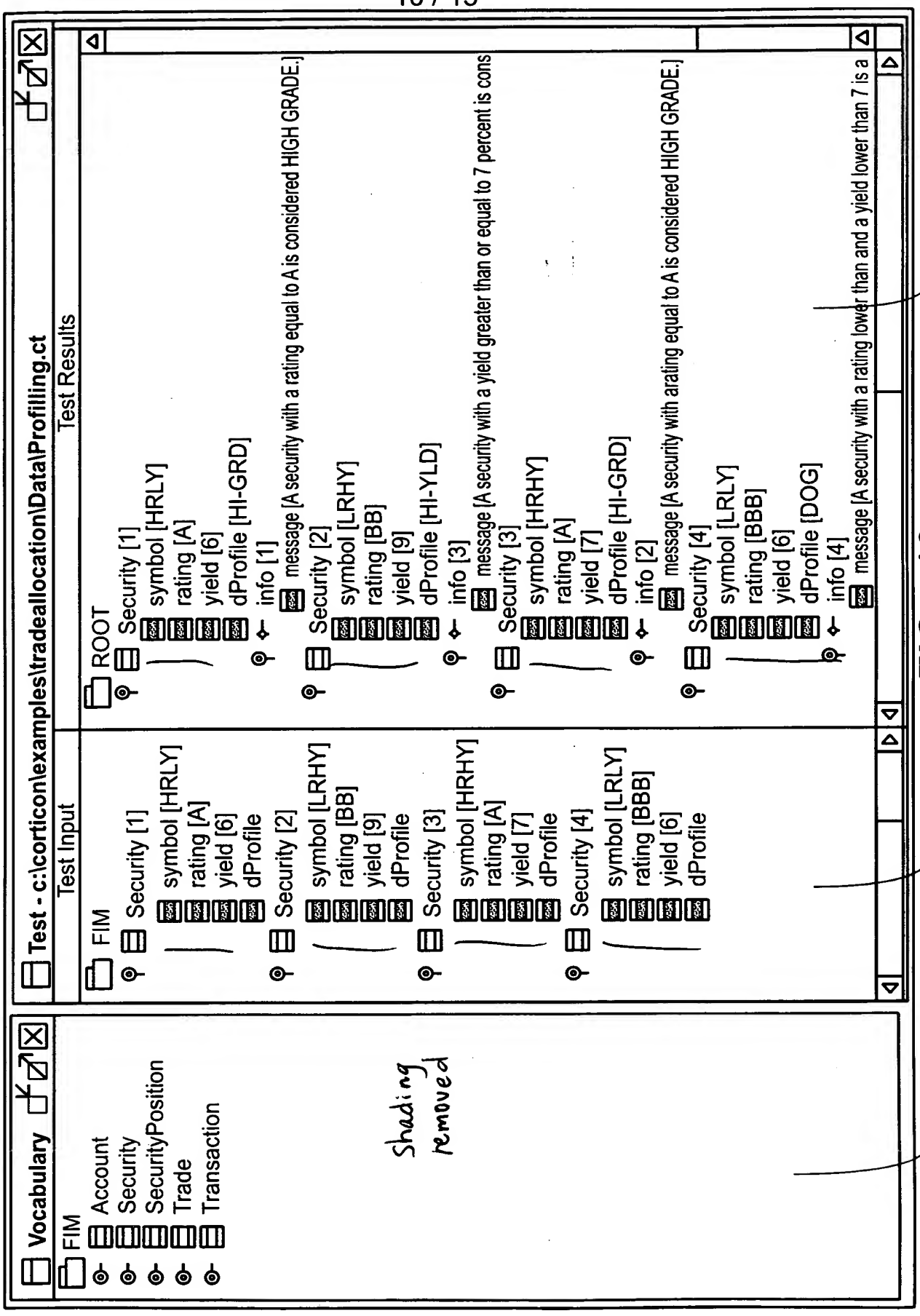
Vocabulary
FIM
Account
Security
SecurityPosition
Trade
Transaction
Test - c:\corticon\examples\tradeallocation\Data\Profilling.ct
Test Input
Test Results
FIM
Security [1]
symbol [HRLY]
rating [A]
yield [6]
dProfile
Security [2]
symbol [LRHY]
rating [BB]
yield [9]
dProfile
Security [3]
symbol [HRHY]
rating [A]
yield [7]
dProfile
Security [4]
symbol [LRLY]
rating [BBB]
yield [6]
dProfile
ROOT
Security [1]
symbol [HRLY]
rating [A]
yield [6]
dProfile [HI-GRD]
info [1]
message [A security with a rating equal to A is considered HIGH GRADE.]
Security [2]
symbol [LRHY]
rating [BB]
yield [9]
dProfile [HI-YLD]
info [3]
message [A security with a yield greater than or equal to 7 percent is cons
Security [3]
symbol [HRHY]
rating [A]
yield [7]
dProfile [HI-GRD]
info [2]
message [A security with arating equal to A is considered HIGH GRADE.]
Security [4]
symbol [LRLY]
rating [BBB]
yield [6]
dProfile [DOG]
info [4]
message [A security with a rating lower than and a yield lower than 7 is a
Shading removed
1304
1306
1308

FIG._13

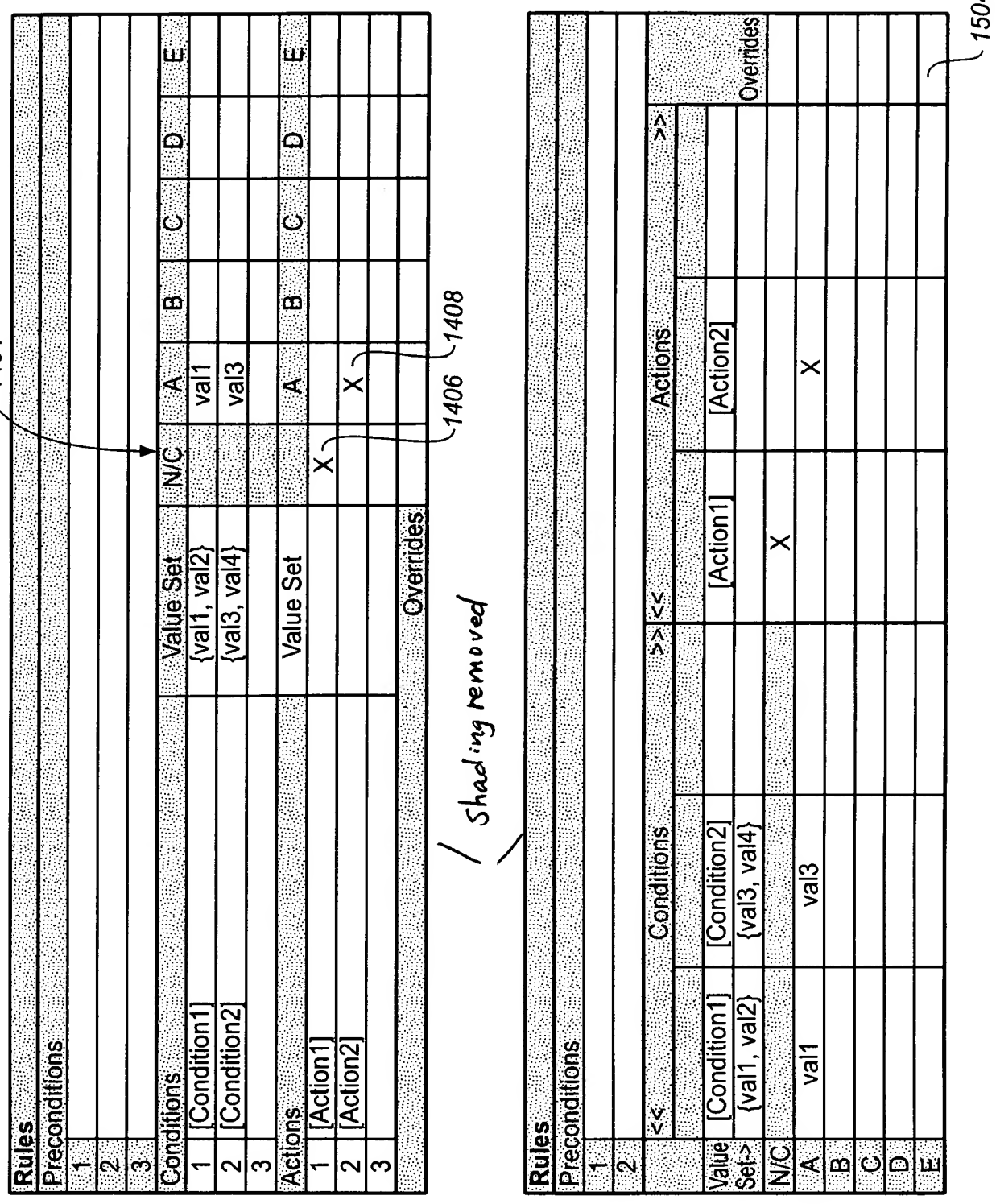
Rules
Preconditions
1
2
3
Conditions
N/C
A
B
C
D
E
1 [Condition1]
Value Set
{val1, val2}
val1
2 [Condition2]
{val3, val4}
val3
3
Actions
1 [Action1]
2 [Action2]
3
Overrides
1404
1406
1408
1402
Shading removed
Rules
Preconditions
1
2
<<
Conditions
>>
<<
Actions
>>
[Condition1]
[Condition2]
[Action1]
[Action2]
Overrides
Value Set->
{val1, val2}
{val3, val4}
N/C
A
B
C
D
E
val1
val3
X
X
1504
1502

FIG._14

FIG._15

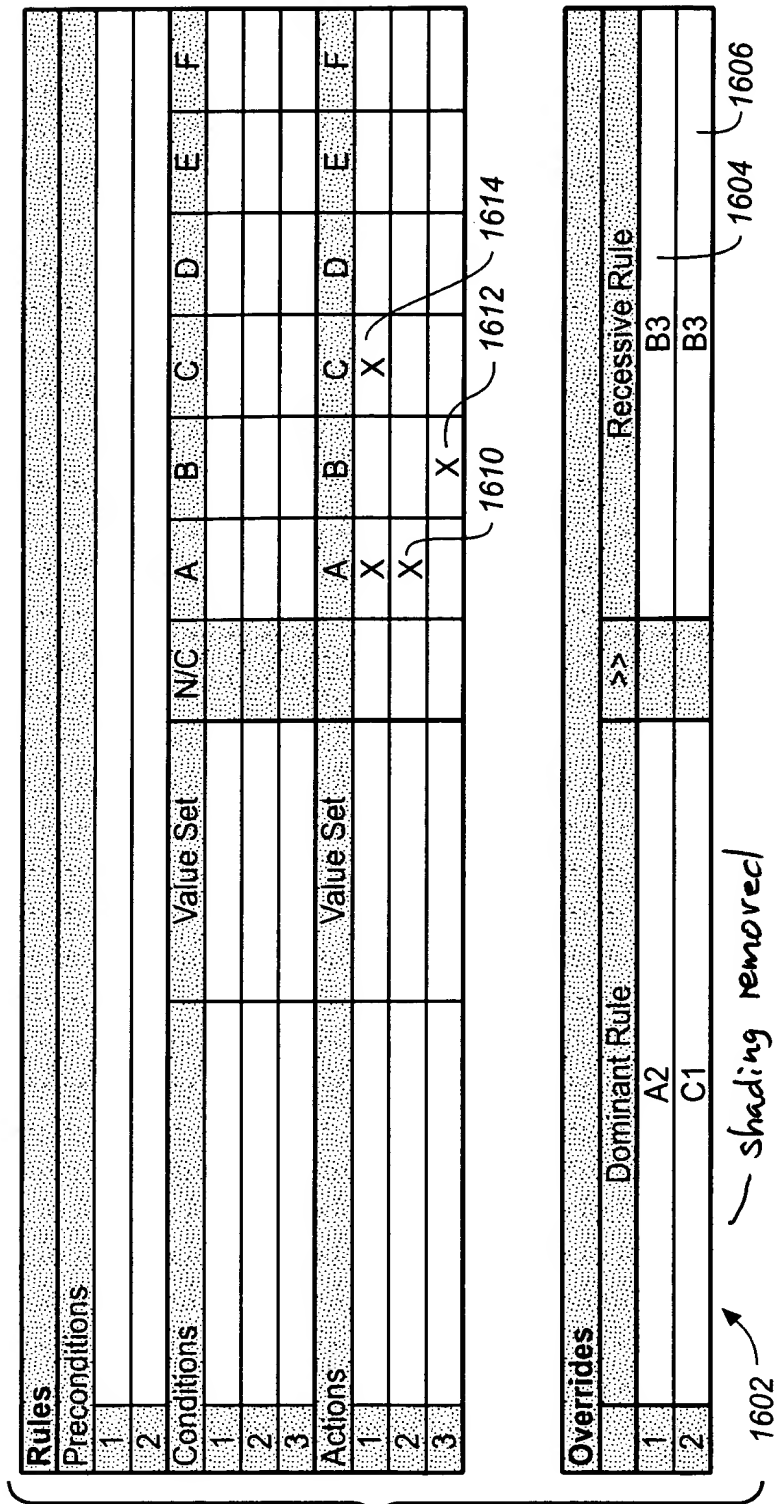
Rules
Preconditions
1
2
Conditions
Value Set
N/C
A
B
C
D
E
F
1
2
3
Actions
Value Set
A
B
C
D
E
F
1
2
3
X
X
X
X
1610
1612
1614
Overrides
Dominant Rule
>>
Recessive Rule
1
2
A2
C1
B3
B3
1602
1604
1606
shading removed
shading removed

FIG._16

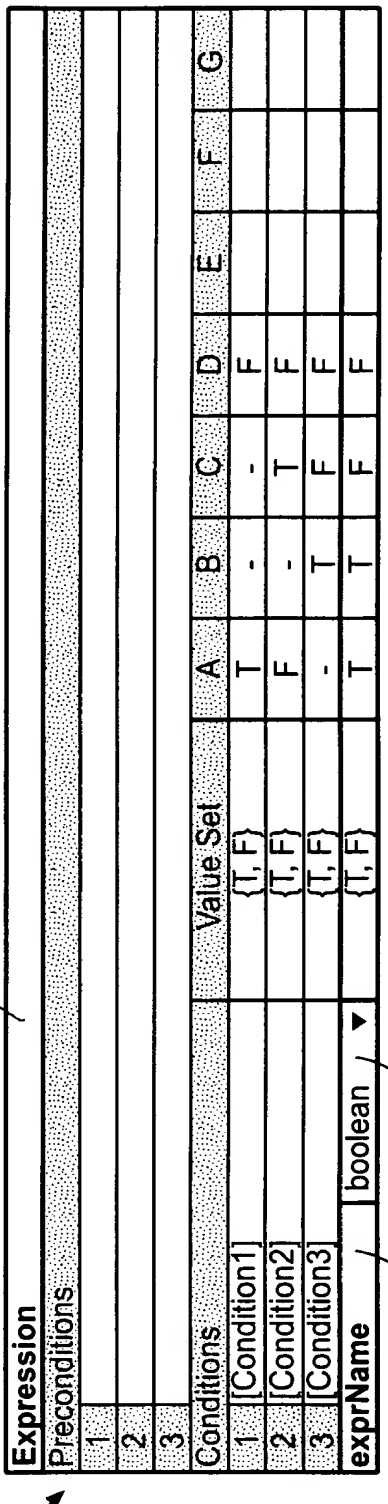
Expression
Preconditions
1
2
3
Conditions
Value Set
A
B
C
D
E
F
G
1 [Condition1]
{T, F}
T
-
-
F
2 [Condition2]
{T, F}
F
-
T
F
3 [Condition3]
{T, F}
-
T
F
F
exprName
boolean
{T, F}
T
T
F
F
1702
1704
1706

FIG._17

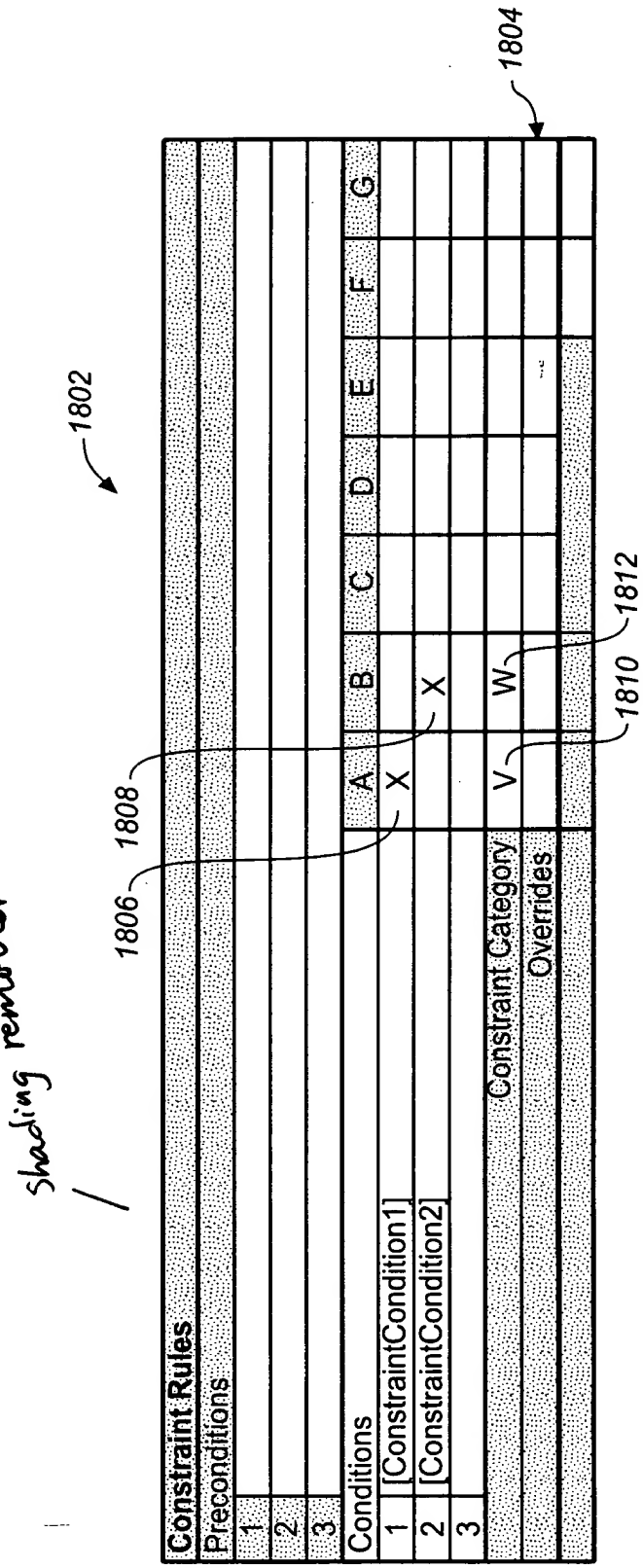
1804
1802
Shading removed
1806
1808
1810
1812
Constraint Rules
Preconditions
1
2
3
Conditions
A
B
C
D
E
F
G
1 [ConstraintCondition1]
X
X
2 [ConstraintCondition2]
3
Constraint Category
V
W
Overrides

FIG._18